

SEARCH CSRC:  

ABOUT MISSION CONTACT STAFF SITE MAP

CSRC HOME GROUPS PUBLICATIONS DRIVERS FEDERAL REGISTER NOTICES NEWS &amp; EVENTS ARCHIVE

**Cryptographic Technology****Cryptographic Standards Development Process Review**

NIST Solicits Comments on the Process

**e-Authentication Initiative****Cryptographic Applications & Infrastructures****Cryptographic Toolkit****Cryptographic Key Management Project****Cryptographic Research Projects****Security Aspects of Electronic Voting****Cryptographic Hash Project****FIPS 140-3 (Draft)****NIST Randomness Beacon****Crypto Reading Club****Workshops and Events**

CSRC HOME &gt; GROUPS &gt; CT

**NIST INITIATING REVIEW OF CRYPTOGRAPHIC STANDARDS DEVELOPMENT PROCESS**

**Update- February 18, 2014:** NIST requests comments on **Draft NIST Interagency Report 7977, NIST Cryptographic Standards and Guidelines Development Process.** This document describes the principles, processes and procedures behind our cryptographic standards development efforts.

[Click here for more information.](#)

Recent news reports about leaked classified documents have caused concern from the cryptographic community about the security of NIST cryptographic standards and guidelines. NIST is also deeply concerned by these reports, some of which have questioned the integrity of the NIST standards development process.

NIST has a proud history in open cryptographic standards, beginning in the 1970s with the Data Encryption Standard. We strive for a consistently open and transparent process that enlists the worldwide cryptography community to help us develop and vet algorithms included in our cryptographic guidance. NIST endeavors to promote confidence in our cryptographic guidance through these inclusive and transparent development processes, which we believe are the best in use.

Trust is crucial to the adoption of strong cryptographic algorithms. To ensure that our guidance has been developed according to the highest standard of inclusiveness, transparency and security, NIST has initiated a formal review of our standards development efforts. We are compiling our goals and objectives, principles of operation, processes for identifying cryptographic algorithms for standardization, methods for reviewing and resolving public comments, and other important procedures necessary for a rigorous process.

Once complete, we will invite public comment on this process. We also will bring in an independent organization to conduct a formal review of our standards development approach and to suggest improvements. Based on the public comments and independent review, we will update our process as necessary to make sure it meets our goals for openness and transparency, and leads to the most secure, trustworthy guidance practicable.

Furthermore, we will be reviewing our existing body of cryptographic work, looking at both our documented process and the specific procedures used to develop each of these standards and guidelines. If any current guidance does not meet the high standards set out in this process, we will address these issues as quickly as possible.

Our mission is to protect the nation's IT infrastructure and information through strong cryptography. We cannot carry out that mission without the trust and assistance of the world's cryptographic experts. We're committed to continually earning that trust.

Contact:

Donna Dodson, Chief, Computer Security Division  
[donna.dodson@nist.gov](mailto:donna.dodson@nist.gov)

[Back to Top of Page](#)

SEARCH CSRC:  

ABOUT MISSION CONTACT STAFF SITE MAP

CSRC HOME GROUPS PUBLICATIONS DRIVERS FEDERAL REGISTER NOTICES NEWS &amp; EVENTS ARCHIVE

CSRC HOME &gt; GROUPS &gt; CT

**Cryptographic Technology****Cryptographic Standards Development Process Review**

NIST Solicits Comments on the Process

**e-Authentication Initiative****Cryptographic Applications & Infrastructures****Cryptographic Toolkit****Cryptographic Key Management Project****Cryptographic Research Projects****Security Aspects of Electronic Voting****Cryptographic Hash Project****FIPS 140-3 (Draft)****NIST Randomness Beacon****Crypto Reading Club****Workshops and Events****NIST SOLICITS COMMENTS ON ITS CRYPTOGRAPHIC STANDARDS DEVELOPMENT PROCESS****Summary:**

NIST requests comments on *Draft NIST Interagency Report 7977, NIST Cryptographic Standards and Guidelines Development Process*. This document describes the principles, processes and procedures behind our cryptographic standards development efforts. Please send comments to [crypto-review@nist.gov](mailto:crypto-review@nist.gov) by **April 18, 2014**.

**Background:**

In November 2013, NIST initiated a review of its cryptographic standards development process in response to public concerns about the security of NIST cryptographic standards and guidelines.

To enable this review, we have compiled information about the principles, processes and procedures that drive our cryptographic standards development efforts to help the public understand how we develop our standards. This information is being published in draft NIST IR 7977, *NIST Cryptographic Standards and Guidelines Development Process*. We are soliciting public comments on this draft NIST IR to obtain feedback on the mechanisms we use to engage experts in industry, academia and government to develop these standards.

We will review all public comments, post them on the CSRC website, and publish a revised NIST IR based on the feedback we receive. This revised publication will serve as basis for our future standards development efforts.

The revised NIST IR 7977 will also serve as the basis for a review of our existing body of cryptographic work. We will examine the procedures used to develop each of our cryptographic standards or guidelines to ensure they were developed in accordance with the principles outlined in NIST IR 7977. If any current guidance does not meet the high standards set out in this process, we will address these issues as quickly as possible, taking into consideration the process used to develop the guidance and a technical review of the affected cryptographic algorithms or schemes.

**Note to Reviewers:**

As part of your review of NIST IR 7977, we request comments on the following topics:

Are there other principles that we should use to drive our standards development efforts?

What are the most effective processes identified in the draft for engaging the cryptographic community for providing the necessary inclusivity and transparency to develop strong, trustworthy standards? Are there other processes we should consider?

Do these processes include appropriate mechanisms to ensure proposed standards are thoroughly reviewed and interested parties' views are heard? Are there other mechanisms that should be included in our process?

What are other communication channels that NIST should consider to effectively communicate with its stakeholders?

[Back to Top of Page](#)

**NISTIR 7977**

# **NIST Cryptographic Standards and Guidelines Development Process (Draft)**

The Cryptographic Technology Group



**NISTIR 7977**

# **NIST Cryptographic Standards and Guidelines Development Process (Draft)**

The Cryptographic Technology Group  
*Information Technology Lab*

February 2014



U.S. Department of Commerce  
*Penny Pritzker, Secretary*

National Institute of Standards and Technology  
*Patrick D. Gallagher, Under Secretary of Commerce for Standards and Technology and Director*

National Institute of Standards and Technology Interagency or Internal Report 7977  
14 pages (February 2014)

Certain commercial entities, equipment, or materials may be identified in this document in order to describe an experimental procedure or concept adequately. Such identification is not intended to imply recommendation or endorsement by NIST, nor is it intended to imply that the entities, materials, or equipment are necessarily the best available for the purpose.

There may be references in this publication to other publications currently under development by NIST in accordance with its assigned statutory responsibilities. The information in this publication, including concepts and methodologies, may be used by Federal agencies even before the completion of such companion publications. Thus, until each publication is completed, current requirements, guidelines, and procedures, where they exist, remain operative. For planning and transition purposes, Federal agencies may wish to closely follow the development of these new publications by NIST.

Organizations are encouraged to review all draft publications during public comment periods and provide feedback to NIST. All NIST Computer Security Division publications, other than the ones noted above, are available at <http://csrc.nist.gov/publications>.

**Public comment period: February 18, 2014 through April 18, 2014**

National Institute of Standards and Technology

Attn: Computer Security Division, Information Technology Laboratory

100 Bureau Drive (Mail Stop 8930) Gaithersburg, MD 20899-8930

Email: [crypto-review@nist.gov](mailto:crypto-review@nist.gov)

## **Reports on Computer Systems Technology**

The Information Technology Laboratory (ITL) at the National Institute of Standards and Technology (NIST) promotes the U.S. economy and public welfare by providing technical leadership for the Nation's measurement and standards infrastructure. ITL develops tests, test methods, reference data, proof of concept implementations, and technical analyses to advance the development and productive use of information technology. ITL's responsibilities include the development of management, administrative, technical, and physical standards and guidelines for the cost-effective security and privacy of other than national security-related information in Federal information systems.

### **Abstract**

This document describes the principles, processes and procedures that drive our cryptographic standards development efforts. This draft document will be revised based on the feedback received during the public comment period, and the revised publication will serve as basis for NIST's future standards development efforts. It will also serve as the basis for the review of NIST's existing body of cryptographic standards and guidelines.

### **Keywords**

Cryptographic standards; cryptographic guidelines;

## 1    **Introduction**

2    The Computer Security Division (CSD), a part of the Information Technology Laboratory (ITL)  
3    at the National Institute of Standards and Technology (NIST) is responsible for developing  
4    standards (i.e., Federal Information Processing Standards), guidelines (NIST Recommendations),  
5    tests, and metrics to protect non-national security federal information systems. Cryptographic  
6    standards and guidelines for the protection of sensitive federal information in transit or storage  
7    have always been a key component of this effort. These standards must be robust and have the  
8    confidence of the cryptographic community in order to be widely adopted and effective at  
9    securing information systems worldwide.

10   To ensure these standards provide high-quality, cost-effective security mechanisms, NIST works  
11   closely with a broad stakeholder community to select, define and promulgate these standards and  
12   guidelines. NIST's stakeholder community includes subject matter experts, academia,  
13   government agencies, and sectors and organizations that voluntarily adopt NIST cryptographic  
14   standards. NIST has found that open and transparent processes are critical to developing the  
15   most secure and trusted cryptographic standards possible. NIST strives to engage all of its  
16   stakeholders in these processes.

## 17   **Principles**

18   NIST believes equitable standards development processes produce the strongest, most effective,  
19   and most highly trusted cryptographic standards. The following principles guide NIST's  
20   standards and guidelines development processes.

21   ***Transparency:*** All interested and affected parties have access to essential information regarding  
22   standards-related activities and venues. NIST is committed to transparency in the development  
23   and documentation of its cryptographic standards with respect to the selection and evaluation  
24   criteria, specification, security and performance characteristics, and provenance of proposed  
25   standards or guidelines. NIST strives to be transparent with all stakeholders by informing and  
26   involving them through presentations at conferences and standards meetings, and publication of  
27   draft documents for public review.

28   ***Openness:*** Participation is open to all interested and affected parties. All stakeholders, including  
29   security professionals, researchers, standards development organizations, and users, have an  
30   opportunity to be involved in the standards and guidelines development process. NIST strives to  
31   maintain this open process by posting draft documents for public comment, holding public  
32   workshops and conferences, and engaging the cryptographic community at industry and  
33   academic events.

34   ***Technical Merit:*** NIST's decisions during the development of cryptographic standards and  
35   guidelines are based on the technical merit of a proposal. NIST strives to standardize  
36   cryptographic algorithms, schemes, and modes of operation whose security properties are well  
37   understood.

38     **Balance:** NIST strives to achieve balance of interests among stakeholders, weighing these  
39     interests to develop cryptographic standards that are secure, efficient, and promote  
40     interoperability. NIST solicits input from a wide-range of stakeholders representing government,  
41     industry and academia to ensure its standards are strong, practical, and meet the needs of the  
42     Federal government as well as the broader user community.

43     **Integrity:** NIST serves as an impartial technical authority when developing cryptographic  
44     standards and guidelines. When evaluating, selecting, and standardizing cryptographic  
45     algorithms, NIST strives to maintain its objectivity when it forms and documents its  
46     decisions. **Continuous Improvement:** During the course of the development of cryptographic  
47     algorithms, the cryptographic community is encouraged to identify weaknesses, vulnerabilities,  
48     or other deficiencies in cryptographic functions specified in NIST publications. When  
49     vulnerabilities are identified, NIST engages with the broader cryptographic community to  
50     address them.

## 51     **Stakeholders**

52     NIST's statutory responsibility is to develop cryptographic standards and guidelines for  
53     protecting sensitive government information on non-national security systems. These are widely  
54     used across the federal government. However, NIST cryptographic standards have long been  
55     voluntarily adopted by other public and private organizations. For example, the Data Encryption  
56     Standard (DES), published as Federal Information Processing Standard (FIPS) 46 in 1977, filled  
57     a critical need for the financial services industry at a time when electronic transactions were  
58     becoming commonplace. NIST cryptographic standards and guidelines continue to be  
59     voluntarily adopted in the private sector, particularly in the financial and health care sectors.

60     The national security community within the United States federal government has also adopted a  
61     subset of NIST's cryptographic standards and guidelines through the Suite B program. The  
62     NIST algorithms that comprise Suite B have been approved by the National Security Agency  
63     (NSA) to protect classified information up to the Secret level, with a class of algorithms with  
64     larger key sizes approved to protect information at the Top Secret level. NIST works closely  
65     with the NSA in the development of cryptographic standards. This is done because of the NSA's  
66     vast expertise in cryptography and because NIST, under the Federal Information Security  
67     Management Act of 2002, is statutorily required to consult with the NSA on standards.

68     Standards Developing Organizations (SDOs) have also adopted NIST cryptographic standards as  
69     foundational building blocks for security protocols. For example, the Advanced Encryption  
70     Standard (AES) block cipher is included in ISO/IEC 18033-3:2010, is the preferred block cipher  
71     for IEEE 802.11 to secure wireless networks, and is mandatory to implement in version 1.2 of  
72     the IETF's Transport Layer Security (TLS) protocol.

73     This widespread adoption has had significant benefits for all participating communities, whether  
74     they are participating by statute or by choice. Widespread international adoption has resulted in  
75     widespread availability of commercial products supporting strong cryptography. In combination  
76     with international standards, security services that are globally interoperable have permitted an  
77     explosion of e-commerce internationally.

78 NIST works closely with experts in industry, academia and government to develop its  
79 cryptographic standards and guidelines. Since the development of DES, the community  
80 researching and developing cryptographic technologies within industry and academia has  
81 expanded greatly. Using the mechanisms and processes described in this document, NIST works  
82 with these stakeholders to identify areas where standards or guidelines are needed, evaluate  
83 proposals, and develop standards or publications. NIST's role as a well-respected and trusted  
84 technical authority in this field is to balance these needs to ensure that its standards and  
85 guidelines are technically sound and have the confidence of the community.

## 86 **Engaging the Cryptographic Community**

87 NIST uses a variety of mechanisms to engage its stakeholders in academia, industry, and  
88 government in the development of its cryptographic standards and guidelines. These  
89 mechanisms include holding international competitions to select new cryptographic algorithms,  
90 participating in SDOs, and developing new standards in collaboration with cryptographers  
91 around the world.

### 92 **Cryptographic Competitions**

93 Cryptographic algorithm competitions allow NIST to standardize a state-of-the-art, widely  
94 accepted cryptographic primitive by involving the international cryptographic research  
95 community in a fair, open-design competition to select an algorithm that NIST will standardize  
96 and promote. Interested parties have an opportunity to participate in the competition by  
97 publishing research papers, submitting comments, and attending public workshops. Researchers  
98 contribute candidate designs and papers on theory, cryptanalysis and performance. The winning  
99 submitters are recognized, but agree to relinquish claim to intellectual property rights for their  
100 design so that the winning candidate can be available for royalty-free use. NIST determines the  
101 algorithm submission requirements and selection criteria, organizes workshops, hosts a  
102 competition website and e-mail discussion forum, selects the winning algorithm (based on its  
103 own analysis and that of the public), and explains and documents the selection.

104 A typical competition starts with a public dialog on the need and requirements for a new  
105 algorithm, both on-line and through public workshop(s), as well as a Federal Register  
106 announcement inviting comment on NIST's proposed criteria. A subsequent Federal Register  
107 announcement states the submission requirements, schedule and selection criteria. A candidate  
108 conference is held, usually juxtaposed with a major cryptographic research conference, for each  
109 "round" of the competition to review the candidates and research results (i.e., cryptanalysis,  
110 performance and proofs of properties) on the candidates. Following each round, NIST  
111 announces the candidates selected to continue to the next round, and provides a report that  
112 documents the rationale for the selections. This winnowing allows the community to focus its  
113 analytical efforts on the most promising candidates. The last round usually has about five strong  
114 candidates. Following the final candidate conference, NIST selects the winner, writes a final  
115 report and formally proposes a standard for the algorithm through the normal FIPS process.

## 116 Adoption of Existing Standards

117 NIST participates in Standards Development Organizations (SDOs), either as a member  
118 organization (e.g., X9, Inc.<sup>1</sup> working groups, INCITS<sup>2</sup> technical committees), or as individual  
119 representatives (e.g., IEEE SA<sup>3</sup> working groups and IETF<sup>4</sup> working groups). NIST experts also  
120 participate in some international SDOs through US National Body or Member State  
121 representation. ANSI<sup>5</sup> is the sole US representative for two major non-treaty international  
122 standards organizations, the International Organization for Standardization (ISO), and, via the  
123 US National Committee (USNC), the International Electrotechnical Commission (IEC). For  
124 treaty-based international standards bodies, such as the International Telecommunication Union  
125 (ITU), the Department of State represents the US.

126 The principles used to develop voluntary consensus standards within SDOs are outlined in OMB  
127 Circular A-119, which instructs agencies to consider the use of these standards except where  
128 inconsistent with law or otherwise impractical. Active participation in such SDOs helps to  
129 ensure that NIST cryptographic standards and guidelines are highly secure and interoperable  
130 with its international partners. When appropriate, SDO publications are referenced in NIST  
131 guidance publications.

## 132 Development of New Standards

133 When NIST identifies a requirement for a standard and determines that no suitable standard  
134 already exists, NIST often develops a guidance document for use by Federal agencies. If there is  
135 also broader applicability, NIST may offer the guidance document or an adaptation of the  
136 document as a contribution to an SDO standards activity. NIST experts in cryptographic  
137 algorithms and standards develop these guidance documents in collaboration with experts in  
138 academia, industry and government. Transparency and collaboration is accomplished through  
139 formal public review processes and interaction with experts at public workshops and standards  
140 meetings. For the development of new, basic cryptographic functions, NIST may invite  
141 contributions from the public and hold a formal competition. In some cases, NIST guidance  
142 publications are offered as contributions to and form a basis for SDO standards.

## 143 NIST Publications

144 NIST uses several types of documents to publish and disseminate its cryptographic standards and  
145 guidelines. Three categories of NIST publications are commonly used: Federal Information  
146 Processing Standards, Special Publications, and Interagency Reports. Draft and final  
147 cryptographic standards and guidelines are posted by NIST on its Computer Security Resource  
148 Center web pages and are freely available to anyone.

---

<sup>1</sup> X9, Inc., Financial Industry Standards.

<sup>2</sup> InterNational Committee for Information Technology Standards.

<sup>3</sup> Institute of Electronic and Electrical Engineers Standards Association.

<sup>4</sup> Internet Engineering Task Force.

<sup>5</sup> American National Standards Institute.

149        **Federal Information Processing Standards (FIPS):** FIPS publications are issued by NIST  
150        after approval by the Secretary of Commerce pursuant to Section 5131 of the Information  
151        Technology Reform Act of 1996 (Public Law 104-106) and the Federal Information Security  
152        Management Act of 2002 (Public Law 107-347). FIPS publications are used by NIST to  
153        publish standards for fundamental cryptographic primitives, such as block ciphers, digital  
154        signature algorithms, and hash functions.

155        **Special Publications (800 Series):** The Special Publication 800 series document a wide range  
156        of research, guidelines, and outreach efforts in computer security. Cryptographic guidelines  
157        in the 800 series build upon the primitives specified in FIPS publications, sometimes  
158        specifying additional cryptographic algorithms, schemes and modes of operation, as well as  
159        providing guidance for their use. For example, Special Publications in the 800 series specify  
160        random bit generators, block cipher modes of operation, key-derivation functions, and key-  
161        establishment schemes. These algorithms and schemes use the block ciphers, hash functions,  
162        and mathematical primitives defined in FIPS publications as fundamental building blocks. In  
163        addition, NIST also issues guidelines on the selection and use of cryptographic algorithms in  
164        800 series Special Publications.

165        **NIST Interagency Reports (NIST IR):** NIST IRs describe technical research of interest to a  
166        specialized audience. NIST does not specify cryptographic algorithms in NIST IR  
167        publications. Instead, NIST uses NIST IR publications to disseminate information about its  
168        cryptographic standards efforts. Historically, the Computer Security Division has used NIST  
169        IRs to publish workshop and conference reports, discussion documents on new challenges in  
170        cryptography, and status reports on cryptographic algorithm competitions.

171        While any NIST publication containing cryptographic standards or guidelines is first released as  
172        a draft for public comment, the specific development process differs by publication type.  
173        Because FIPS are mandated by formal legislation, and the algorithms they specify are at the heart  
174        of many critical security technologies, FIPS publications undergo the most formal development  
175        process. FIPS documents are developed by NIST, but approved and promulgated by the  
176        Secretary of Commerce. Formal announcements for draft and final FIPS documents are  
177        published in the Federal Register. As such, FIPS documents tend to have much longer  
178        development cycles than Special Publications. Special Publications are promulgated by NIST,  
179        with announcements posted on the Computer Security Division website. Special Publications  
180        have a shorter development cycle and usually are not announced in the Federal Register but are  
181        posted for a specified public comment period for external review and participation.

## 182        **Public Review and Outreach**

183        NIST strives in its cryptographic standards and guidance activities to be as open, and transparent  
184        as possible. NIST provides public notice of its activities in cryptography including:

185            • Plans for cryptographic standards and recommendations,  
186            • Invitations for public participation in workshops that discuss topics in cryptography and  
187            its standardization,

188     • Announcements of the availability of draft cryptographic standards and recommendations  
189       for public review and comment, and  
190     • Announcements of the adoption of cryptographic standards and recommendations for use  
191       by the US Federal Government.

192 All announcements are posted and available on the Computer Security Division website  
193 (<http://csrc.nist.gov>), while major announcements, including those proposing the adoption of  
194 FIPS and inviting comments on a proposed standard, are also announced in the Federal Register.  
195 In addition, press releases usually accompany significant announcements, and sometimes  
196 Information Technology Laboratory (ITL) Security Bulletins are posted that provide information  
197 about the use of cryptographic standards and recommendations. In some cases, NIST maintains  
198 a public email forum for ongoing open discussion of subjects relevant to cryptographic standards  
199 or research activities.

200 The primary feedback mechanism for NIST cryptographic designs and implementation guidance  
201 is the posting of drafts and requests for public comment on the Computer Security Division  
202 website. Comment periods depend on the size and complexity of the drafts, as well as any prior  
203 history of public exposure and commentary, but typically run from 30 to 90 days. Comments  
204 may be submitted as electronic mail messages, transmission of electronically completed  
205 comment templates, or as hard copy correspondence. If the nature or extent of changes to a draft  
206 resulting from the comments is sufficiently extensive, one or more additional cycles of public  
207 review may be conducted. Comments received on draft FIPS, and their dispositions, are  
208 summarized in the Federal Register Notice announcing the approval of a new or revised  
209 standard. In the case of commercial or consensus standards, feedback is generated and received  
210 in accordance with the policies and procedures of the respective standards bodies.

211 Announcements and public review are vital, but only the externally visible part of the process.  
212 Public outreach begins well before formal announcements and extends beyond the adoption of  
213 standards. NIST is deeply involved in the cryptographic research community, participating  
214 extensively in the community by attending research conferences; providing program committee  
215 members, speakers and reviewers for conferences and workshops; and writing papers on NIST  
216 research. NIST also invites and hosts guest researchers, postdoctoral fellows and visiting  
217 scholars; sometimes funds academic research; and provides services, such as the NIST  
218 Randomness Beacon,<sup>6</sup> for the research community. As a result, cryptographers around the world  
219 often know whom to contact at NIST in their area of interest. NIST encourages and receives  
220 valuable informal advice, often based on independent cryptanalysis, from researchers.

221 NIST's previously discussed participation in SDOs provides another avenue for outreach and  
222 feedback. In many cases, NIST staff are contributors, editors or working-group chairs for  
223 proposed voluntary standards that use cryptography. NIST participates in the SDO standards  
224 process along with industry and companies involved in the design, development and  
225 implementation of cryptography. Such outreach promotes a two-way flow of information, and  
226 provides early feedback on the effects of NIST standards and the need for new or different  
227 standards.

---

<sup>6</sup> See [http://www.nist.gov/itl/csd/ct/nist\\_beacon.cfm](http://www.nist.gov/itl/csd/ct/nist_beacon.cfm)

228 NIST must prioritize its participation within meetings, conferences, standards organizations and  
229 industry groups based on the stakeholders involved and the expected impact of involvement.  
230 There are also limits on the number of guest researchers and visiting scholars that can be  
231 accommodated, based on the available resources. Process and fairness require that some  
232 activities be kept confidential until announced publicly to everyone at the same time. Within  
233 these constraints, NIST strives to keep stakeholders informed by reaching out to the community,  
234 being accessible for discussions, listening to concerns, responding to questions, making  
235 important activities public, participating actively in the cryptographic research community, and  
236 supporting voluntary standards development efforts.

## 237 **Appendix: Examples of Development Processes**

### 238 **Advanced Encryption Standard**

239 During the 1990s, NIST wanted a block cipher standard that was stronger and faster than  
240 the existing Triple-DES standard, which was primarily used for encryption and message  
241 authentication. In January 1997 NIST announced its interest in the development of a  
242 successor to Triple-DES, to be called the Advanced Encryption Standard (AES). NIST  
243 requested feedback and held a public workshop to discuss the criteria for the design of  
244 this algorithm. NIST then announced the start of a competition and its rules and  
245 requirements in September 1997, calling for candidate submissions in nine months.  
246 NIST received 15 complete candidates, and held three conferences to review and winnow  
247 the candidates down to five finalists. After the third conference, NIST chose Rijndael to  
248 be the AES in October 2000, and in February 2001, formally proposed the AES standard,  
249 FIPS 197, in a Federal Register announcement soliciting public comment. The final  
250 approval of AES occurred on November 26, 2001.

### 251 **Block Cipher Modes of Operation**

252 FIPS 197 authorizes NIST Recommendations as a source for modes of operation for  
253 implementations of the AES algorithm. Recommendations for a variety of modes have  
254 been published, in a relatively agile manner under that authority, in the 800-38 series of  
255 Special Publications. Two sets of those modes originated in the Federal government: 1) the  
256 adaptations of the four DES encryption modes in FIPS 81 to the AES algorithm, and  
257 2) the key-wrapping modes that were developed by NSA at NIST's request. All of the  
258 other block cipher modes approved by NIST were based on proposals that were  
259 submitted for NIST's consideration from academia and industry, including both  
260 individual companies and standards groups. All mode proposals are posted on NIST's  
261 CSRC website, with an open invitation for public comments.

262 The initial step in the development process is to determine whether a version of a mode  
263 proposal is appropriate to include in NIST's cryptographic toolkit of standards. The main  
264 considerations are: 1) whether the mode serves an important need, 2) whether existing  
265 modes in the toolkit, or other modes proposals, can adequately provide the needed  
266 properties/functionality, 3) whether the mode meets NIST's security requirements, and 4)  
267 for patented modes, whether acceptable royalty-free alternatives are available. NIST has  
268 often sought public input into these initial decisions, either from public workshops or  
269 through public comment periods.

270 When NIST is interested in approving a mode proposal, the next step is the development  
271 of a draft special publication that specifies the mode. Normally, NIST develops the draft  
272 in consultation with the mode submitter. After passing internal review, the draft is posted  
273 on the CSRC website for a period of public comment, after which any received  
274 comments are also posted. NIST considers the public comments carefully and decides

275 whether to finalize the draft for publication, with appropriate revisions to address any  
276 remaining public or internal concerns.

277 Since 2001, NIST has approved twelve block cipher modes of operation within six  
278 special publications in the 800-38 series. These modes provide confidentiality and/or  
279 authentication for a variety of general and special purpose applications, including modes  
280 designed for wireless local-area networks, disk encryption, and high-throughput Internet  
281 routers. A seventh document in the series, specifying modes for format-preserving  
282 encryption, is currently in development.

## 283 **Deterministic Random Bit Generators**

284 In 1998, NIST recognized that the random number generators described in FIPS 186-2  
285 would not be adequate for anticipated future requirements for the generation of random  
286 numbers. As a member of X9F1, a subcommittee of the American Standards Committee  
287 (ASC) X9 (the committee for Financial Services), NIST concluded that X9F1 would be  
288 an appropriate venue to develop a standard on random number generation, since the  
289 committee included members from several organizations with cryptographic expertise. A  
290 development team was formed to develop this standard (ANS X9.82) led by NIST and  
291 NSA staff. The standard was developed in four parts: a general discussion of random  
292 number generators (Part 1), requirements for entropy sources (Part 2), specifications for  
293 deterministic random bit generator (DRBG) algorithms (Part 3), and constructions for  
294 building Random Bit Generators (RBGs) from DRBGs and entropy sources (Part 4).

295 During the development of Part 3 of ANS X9.82, a version of the document was provided  
296 to the International Standards Organization (ISO), where it became the basis for ISO/IEC  
297 18031.

298 In order to obtain a wider review of the standard, include additional test and validation  
299 guidance that was not appropriate for the X9 standard, and allow a more efficient review  
300 and comment process, NIST incorporated the material into the SP 800-90 series of  
301 documents. This series specifies algorithms (in NIST SP 800-90A), requirements and  
302 tests for entropy sources (in NIST SP 800-90B), and constructions for combining the  
303 DRBG algorithms and entropy sources into Random Bit Generators (in NIST SP 800-  
304 90C).

305 ANS X9.82, Part 3 became the basis for NIST SP800-90A. Part 3 of ANS X9.82  
306 contains three algorithms: *HMAC\_DRBG*, *CTR\_DRBG* and *Dual\_EC\_DRBG*. However,  
307 when SP 800-90A was developed, four algorithms were included: *Hash\_DRBG*,  
308 *HMAC\_DRBG*, *CTR\_DRBG* and *Dual\_EC\_DRBG*. *Hash\_DRBG* was originally  
309 designed in response to a request for a generator that would be appropriate for the  
310 generation of values with higher security requirements than were provided in the older  
311 random number generators specified in the Digital Signature Standard (FIPS 186-2).

312 During the development of the SP 800-90 series, NIST has held several workshops,  
313 hosted discussions with organizations and experts involved in testing or designing

314 random bit generators, and provided the drafts of the SP 800-90 documents for public  
315 comment. All such feedback was considered for incorporation into the SP 800-90  
316 documents.

317 Some in the cryptographic community have expressed concern about the  
318 *Dual\_EC\_DRBG* specified in SP 800-90A. In light of these concerns, NIST published an  
319 ITL Bulletin<sup>7</sup> discussing the history of the document development and the issue of  
320 concern, provided the SP 800-90 documents for an additional public comment period,  
321 and advised against using the *Dual\_EC\_DRBG* pending the resolution of the security  
322 concerns. As part of our commitment to continuous improvement of our standards and  
323 guidelines, NIST will review these comments and make a determination of the  
324 appropriate action to take.

---

<sup>7</sup> See <http://csrc.nist.gov/publications/nistbul>